|   | (Only  |       | TR                  | IT AI  | TIME                           | ICA<br>TA |  |            | torney C   | Oocket No.:                         |                    | V63                  | 7-255  | 43 US  | 3  |                                       |  |          |        | 10/028439 |
|---|--|-------|---------------------|--|--------------------------------|-----------|--|------------|--|-------------------------------------|--------------------|----------------------|--|--|--|---------------------------------------|--|----------|--------|-----------|
|   | (Only for new nonprovisional applications under 37 CFR 1.53(b))  |       |                     |  |                                |           |  |            | First Inventor or Application Identifier: Thomas R. WERNER et al.        |                                     |                    |                      |  |  |  |                                       |  | 710      |        |           |
| 13 /3 /3 /3 /3 /3 /3 /3 /3 /3 /3 /3 /3 /3 | 1<br>1<br>1<br>3<br>1<br>1<br>1<br>1   |       |                     |  |                                |           |  |            | Title: INTEGRAL VERTICAL CAVITY SURFACE EMITTING LASER AND POWER MONITOR |                                     |                    |                      |  |  |  |                                       | VER  |          |        |           |
|   | APPLICATION ELEMEN  See MPEP chapter 600 concerning utility patent   |       |                     |  |                                |           |  |            |  |                                     |                    |                      | RES  | S TO:  | S TO: Commissioner for Patents Box Patent Application Washington, DC 20231 |                                       |  |          |        |           |
|   | 1. Fee Transmittal Form (e.g. PTO/SE   |       |                     |  |                                |           |  |            |  |                                     |                    |                      | ACCOMPA                                      |  |  | IYING A                               | APPLICA  | TION     | PARTS  |           |
|   | (Sasanican original and a duplicate for ree pre  |       |                     |  |                                |           |  |            |  |                                     |                    | 6.                   |  | Assig  | Assignment Papers (cover sheet & document(s))                              |                                       |  |          |        | s))       |
|   | 2.   | _     | Specification Total |  |                                |           |  |            | al Pages   | 17                                  |                    | 7.                   |  |  | 37 C.F.R. §3.73(b) Statement Power of when there is an assignee)           |                                       | Power of At  | torney   |        |           |
|   |  |       |                     |  |                                |           |  |            |  |                                     | 8.                 |                      | English Translation Document (if applicable) |  |  |                                       |  |          |        |           |
| H   | 3.   | 🗹     | Draw                | ing(s)   | (35 U.S.C                      |           | ). 113)                                      | Total Sh   | Sheets   | 4                                   |                    | 9.                   | ×  | Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations |  |                                       | os   |          |        |           |
|   |  |       |                     |  |                                |           |  |            |  |                                     |                    | 10.                  |  | Preliminary Amendment  |  |                                       |  |          |        |           |
| TU  | 4.   | Ū     |                     |  | lewly executed (original or co |           |  |            | al Pages   |                                     |                    | 11.                  | Ø  | White Advance Serial No. Postcard  |  |                                       |  |          |        |           |
|   |  | a.    |                     |  |                                |           |  |            |  |                                     |                    | 12.                  |  |  | Statement(s)   |                                       | Statement filed in prior<br>application. Status still proper<br>and desired. |          |        | oper      |
| Ū   |  | b.    |                     | Copy from a prior application (37 C.F.R. §1.63(d)) (for continuation/divisional with box 15 completed) |                                |           |  |            |  |                                     |                    |                      |  |  |  |                                       |  |          |        |           |
| . J. III                                  | i. DELETION OF INVENT Signed statement attached del the prior application, see 37 C 1.33(b).   |       |                     |  |                                |           |  | ched delet | TOR(S) leting inventor(s) named in                                       |                                     |                    |                      |  | Certif   | ertified Copy of Priority Document(s) foreign priority is claimed)         |                                       |  | t(s)     |        |           |
|   |  |       |                     |  | 7.00(0)                        |           |  |            |  |                                     |                    | 14.                  |  | Other  | Other:   |                                       |  |          |        |           |
|   |  |       |                     | <u> </u>   |                                |           | <del> </del>                                 | ,          |  |                                     |                    |                      |  |  |  | ļ                                     |  |          |        |           |
| -   | 5. Incorporation By Reference (usable The entire disclosure of the prior application, oath or declaration is supplied under Box 4B the disclosure of the accompanying application incorporated by reference therein. |       |                     |  |                                |           |  |            | from which a copy of the is considered to be part of                     |                                     |                    |                      |  | Check for \$ 0.00  |  |                                       |  |          |        |           |
|   |  |       |                     |  |                                |           |  |            |  |                                     |                    | <del> </del>         |  | · · · · ·  |  |                                       |  |          |        |           |
|   | 15. If a CONTINUING APPLICATION, check   |       |                     |  |                                |           |  |            |  |                                     |                    |                      |  | te inforn  | nation bel   | Dw:                                   |  |          |        |           |
|   | ☐ Continuation ☐ Divisional  |       |                     |  |                                |           |  |            | ☐ Continuation-i   |                                     |                    |                      | art (C                                       | IP)  | of prid  |                                       | ation no.:   |          |        |           |
|   | Prior application information: Examin  |       |                     |  |                                |           |  |            |  |                                     |                    |                      |  |  | <u> </u>   | Grou                                  | o Art Unit:  |          |        |           |
|   | 16. Amend the specification by inserting before  |       |                     |  |                                |           |  |            |  |                                     |                    |                      |  |  |  |                                       |  | ·        |        |           |
|   | ☐This application is a ☐ Continuation of application Serial No.  |       |                     |  |                                |           |  |            | Division Continuation-in-part (CIP)                                      |                                     |                    |                      |  |  |  | · · · · · · · · · · · · · · · · · · · |  |          |        |           |
|   |  |       |                     |  |                                |           | <u>.                                    </u> |            |  |                                     | <u> </u>           |                      |  |  |  |                                       |  |          |        |           |
|   |  | Inis  | applic              | ation o  | claims                         | prio      | rity of p                                    | rovision   | al app   | lication Se                         | eriai              | No.                  |  | ŀ  |  |                                       | Filed  | <u>L</u> |        |           |
|   |  |       |                     |  |                                |           |  |            | 17. CC   | PRESPO                              |                    |                      |  | DRES   | SS   |                                       |  |          |        |           |
|   |  |       |                     |  | •                              |           |  | l          | HONE   |                                     | NTE<br>lum<br>DB 2 | RNA<br>bia F<br>2245 | TION<br>Road                                 |  | IC.  |                                       |  |          |        |           |
|   | _  |       |                     |  |                                |           |  |            |  | Morristov<br>ephone No<br>simile No | o.:                | (602                 | 313-   |  |  |                                       |  |          |        |           |
| i   |  | Na    | me:lJ               | ohn M  | . Kell                         | ,         |  |            |  |                                     |                    |                      |  | Registration No.: 33,920   |  |                                       |  |          |        |           |
|   | Signature: Alan Va Ol  |       |                     |  |                                |           |  |            |  |                                     |                    |                      |  |  |  |                                       | Decembe  | er 28    | , 2001 |           |
|   |  | Name: |                     |  |                                |           |  |            |  |                                     |                    |                      |  | R  | Registrat  |                                       |  |          | • • •  |           |

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|--|--------------|----------------|-------------------------------|---------------|----------------------------|--|----------|--|--|
| Patent fees are subject to annual revision.  |              | F              | iling Da                      | ate           |                            | December 28, 2001  |          |  |  |
|  |              | F              | irst Naı                      | med In        | ventor                     | Thomas R. WERNER et al.  |          |  |  |
|  |              | G              | roup A                        | rt Unit       |                            | T.B.D.   |          |  |  |
|  |              | E              | xamine                        | er Nam        | ie.                        | T.B.D.   |          |  |  |
| TOTAL AMOUNT OF PAYMENT \$794.00   | )            | _              | ttorney                       |               |                            | V637-25543 US  |          |  |  |
| '  |              |                | Morriey                       |               |                            |  |          |  |  |
| METHOD OF PAYMENT (check one)  | <del> </del> |                |                               |               | CALCUL                     | ATION (continued)  |          |  |  |
| The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: |              |                | IONAL                         |               |                            |  |          |  |  |
| Deposit  | Fee          | Entity ·       | Small<br>Fee                  | Fee           |                            |  | Fee      |  |  |
| Account  | Code         | \$             | Code                          | \$            |                            | Fee Description  | Paid     |  |  |
| Number 01-1125   | 105          | 130            | 205                           | 65            | -                          | late filing fee or oath  |          |  |  |
| Deposit Hanguard International Inc   | 127          | 50             | 227                           | 25            | _                          | late provisional filing fee or cover sheet   |          |  |  |
| Account Honeywell International Inc.   | 139          | 130            | 139                           | 130           |                            | specification  |          |  |  |
| Charge any Additional Fee Required   | 147          | 2,520          | 147 .                         | 2,250<br>920* | _                          | request for ex parte reexamination   |          |  |  |
| X Under 37 CFR §§1.16 & 1.17   | 112<br>113   | 920*<br>1,040* | 112<br>113                    | 1,840*        |                            | publication of SIR prior to Examiner action publication of SIR after Examiner action |          |  |  |
| <u>ii</u>  | 115          | 110            | 215                           | 55            |                            | or reply within first month  |          |  |  |
| 2. Payment Enclosed:   | 116          | 400            | 216                           | 200           |                            | or reply within second month   |          |  |  |
| Check Money Order Other  | 117          | 920            | 217                           | 460           |                            | or reply within third month  |          |  |  |
| FEE CALCULATION  | 118          | 1,440          | 218                           | 720           | Extension fo               | or reply within fourth month   |          |  |  |
| 1. BASIC FILING FEE  | 128          | 1,960          | 228                           | 980           | Extension for              | or reply within fifth month  |          |  |  |
| Large Entity Small Entity  | 119          | 320            | 219                           | 160           | Notice of Ap               | ppeal  |          |  |  |
| Fee Fee Fee Fee Description Fee  | 120          | 320            | 220                           | 160           | -                          | f in support of an appeal  |          |  |  |
| Code \$ Code \$ Paid   | 121          | 280            | 221                           | 140           | -                          | oral hearing   | <u> </u> |  |  |
| 101 740 201 370 Utility Filing Fee 740   | 138          | 1,510          | 138                           | 1,150         |                            | nstitute a public use proceeding   |          |  |  |
| 106 330 206 165 Design Filing Fee  | 140          | 110            | 240<br>241                    | 55<br>640     |                            | evive – unavoidable<br>evive – unintentional   | <b></b>  |  |  |
| 107 510 207 255 Plant Filing Fee   | 141          | 1,280<br>1,280 | 241                           | 640           |                            | fee (or reissue)   | <b> </b> |  |  |
| 108 740 208 370 Reissue Filing Fee   | 143          | 460            | 243                           | 230           | Design issue               |  |          |  |  |
| 114 160 214 80 Provisional Filing Fee  | 144          | 620            | 244                           | 310           | Plant issue                |  |          |  |  |
|  | 122          | 130            | 122                           | 130           |                            | Petitions to the Commissioner  |          |  |  |
| 2. EXTRA CLAIM FEES  Extra Fee from  | 123          | 50             | 123                           | 50            | Processing                 | fee under 37 CFR 1.17(q)   |          |  |  |
| Total Claims Delow Fee Paid  | 126          | 180            | 126                           | 180           | Submission                 | of Information Disclosure Statement  |          |  |  |
| Independent 23 - 3 = 0 x 84.00 = 34  | 581          | 40             | 581                           | 40            | Recording e<br>number of p | each patent assignment per property (times properties)                               |          |  |  |
| Multiple Dependent Claims -0- 280.00 = -0-   | 146          | 740            | 246                           | 370           | Filing a sub               | mission after final rejection (37 CFR 1.129(a))                                      |          |  |  |
| Large Entity Small Entity  | 149          | 740            | 249                           | 370           | For each ad<br>1.129(b))   | ditional invention to be examined (37 CFR  |          |  |  |
| Fee Fee Fee Fee Code \$ Code \$ Fee Description  | 179          | 740            | 279                           | 3370          |                            | Continued Examination (RCE)  |          |  |  |
| 103 18 203 9 Claims in excess of 20  | 169          | 900            | 169                           | 900           | •                          | expedited examination of a design application  |          |  |  |
| 102 84 202 42 Independent claims in excess of 3  | 195          | 300            | 195                           | 300           | Publication                | fee  |          |  |  |
| 104 280 204 140 Multiple dependent claim   | Otherfor     | \cnoois        | .A                            |               |                            |  | <b></b>  |  |  |
| 109 84 209 42 Reissue independent daims over original patent                                   | Other fee    | s (specii)     | y)                            |               |                            |  |          |  |  |
| 110 18 210 9 Reissue claims in excess of 20 and over original patent                           |              |                |                               |               |                            |  |          |  |  |
| SUBTOTAL (2) \$54.00   | * Reduce     | ed by Bas      | sic Filing Fe                 | e Paid        | sı                         | JBTOTAL (3)  | \$0.00   |  |  |
|  | 1            |                |                               |               |                            |  |          |  |  |
| SUBMITTED BY   |              | -1-            |                               | 1-            |                            | Complete (if applicable)   |          |  |  |
| Name (Print / Type) Andrew A. Abeyta   | //           | (A             | egistration I<br>httorney/Age | ent)   3      | 9,582                      | Telephone 602-313-3345   | 5        |  |  |
| Signature John WKell, 33, 9.   | 20, for 0    | Inde           | eu a                          | legt          | <u> </u>                   | Date 12/28/2001  |          |  |  |
| 1  |              |                |                               | 0             |                            | • /  |          |  |  |

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